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AUTHOR Byrd, Robert R.
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ABSTRACT

Recommendations made for identifying viable Federal funding alternatives for schools include scanning and reviewing printed information with consistent regularity and taking advantage of human resources. Procurement procedures and considerations are suggested for the following areas: (1) need determination; (2) conceptualization/planning; (3) selection of potential funding sources; (4) organization of proposal preparation efforts; (5) drafting and review of proposal; and (6) submission of proposal. Appendices include examples of printed and human sources of information and an example of a transmittal letter. (EB)

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Recommended Procedures for the Identification and Procurement of Federal Funds for Education Projects

Submitted by

Robert R. Byrd

June 1977

U.S. DEPARTMENT OF HEALTH, EDUCATION & WELFARE
NATIONAL INSTITUTE OF EDUCATION

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Robert R. Byrd
Southw. Reg. Educ. Ctr.

TO THE EDUCATIONAL RESOURCES INFORMATION CENTER (ERIC) AND USERS OF THE ERIC SYSTEM."

Submitted to

Dr. Don Lueder

College of Human Development and Learning
The University of North Carolina at Charlotte

Course Requirement: HDL-672

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OUTLINE

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RECOMMENDED PROCEDURES FOR THE IDENTIFICATION AND PROCUREMENT OF FEDERAL FUNDS FOR EDUCATION PROJECTS

INTRODUCTION

Many classroom teachers and school central office personnel are unable to take full advantage of federal funds, simply because they have not mastered the process of identifying and procuring federal funds; therefore, the purpose of this paper is to outline the suggested steps and activities needed in identifying and procuring federal funds for educational projects.

The outline contained herein will be utilized as a "handout" document as well as the basis for future regional workshops on the topic.

I. IDENTIFICATION OF VIABLE FEDERAL FUNDING ALTERNATIVES

Many times school personnel have well defined needs, interests and inclinations to utilize federal funds in augmenting and enhancing instructional programs; however, funding efforts may end in failure because of inadequate techniques of identification of funding alternatives.

Effective identification strategies form the basis of strong credible funding efforts. It is important that the universe of options be known, thus, eliminating the temptation to "shoot blindly" in the dark.

Identification is a continuing ongoing process which is never complete. The funding options are constantly changing and at times are impossible to monitor effectively without continued interaction with human and/or printed sources. Therefore, one of the first steps in accessing federal funds is to commence building an "information flow" process which will be continually refined as time passes.

Current credible information is obtained from two basic sources: Human and Printed

A. Printed Sources

Printed sources are numerous and range in cost from no-cost to expensive. Appendix A lists some of the more frequently used information sources.

Since most funding is awarded through a grant/contract process with fixed deadlines for proposal submission, advance information is essential, otherwise deadlines cannot be met. The earlier specific funding source information is obtained, the higher the probability of obtaining funds.

The Federal Register (daily publication) is the official U.S. Government mouthpiece containing rules, regulations, guidelines, requests for proposals (RFP's) and deadlines relating to federal funding of educational projects. The Business Commerce Daily also serves a similar function.

Many times the regulations, the requests for proposals, and announcement of deadlines are late, thus allowing for insufficient time to generate an effective proposal. Therefore, it is important to have advanced knowledge of what "will appear" in the Federal Register.

Multiple-source (as opposed to single-source) printed information sources are highly desirable. Such material may be in the form of subscriptions, newsletters, legislative updates, catalogs, and manuals. Is is highly desirable to have access to a limited number of reference works such as the Federal Catalog of Federal Domestic Assistance and The Guide to Federal Funding in combination with the daily, weekly, and quarterly "scannable" materials. Some of the scannable materials include: ERIC Clearinghouse Newsletters, The Federal Register, Education Daily, Federal Funding News, and others. (See Appendix A.)

In order to monitor funding sources effectively, one must scan or review printed information with consistent regularity. Ideally, five to twenty-five minutes per day should be sufficient (depending on the need). Many times it is helpful if several colleagues collaborate and form a monitoring team which allows for sharing monitoring responsibility.

Identification and monitoring of federal support programs is an excellent staff development activity even if funds are never solicited.

B. Human Resources

At the local, regional, state, national, and university levels are individuals who possess high levels of skills in both the area of funding identification and funding procurement. (See Appendix B for a sample listing.)

As one establishes information monitoring capability, humans must be contacted. A "rollidex" of contacts (complete with name, address, and phone number) is desirable, and as with printed sources, the "rollidex" will continually change. Once one has cultivated effective person contacts in the major interest areas, it becomes a simple matter to "find out what you don't know".

II. PROCUREMENT

There are several references available to assist proposal (grant) writers; however, these generally focus on the specific sections of the proposal rather than on the overall process. The following flowchart represents the various elements one can expect to encounter in the process of the solicitation.

Need Determination → Conceptualization of Solution → Obtaining Endorsement of Proposed Solution by Appropriate Referent Groups →

Obtaining Financial Support for Proposed Solution (Solicitation of Funds) → Implementing Solution (Project Management)

It can be noted that although this general pattern is usually followed, the activities are not necessarily "lock-step". Several of the steps listed below may occur simultaneously. More specifically, the major elements in the process are:

A. Need Determination
B. Conceptualization/Planning
C. Selection of Potential Viable Funding Sources
D. Obtaining of RFP, Regulations, Guidelines from Potential Funding Agents
E. Organization of Proposal Planning/Preparation Effort
F. Drafting and Review of the Proposal (Grant Application)
G. Submission of the Proposal

A. Need Determination

Nearly all proposals require some type of needs identification. It is important that the reporting of the need on which the request for funds is to be based, be clearly documented and derived from credible evidence. Test scores, other performance

measures, attendance records, dropout rates and current availability/or lack of services are the types of items which are generally utilized to document need.

B. Conceptualization/Planning

The pre-proposal conceptualization/planning process is very important to the future development of viable fundable alternatives. During this activity, the approach by which the needs/problems will be alleviated (solved) is generated. It is important that the basic approach to be developed be supportable by solid philosophical and theoretical rationale. The concept (proposed approach) should be tested by comparing it to research literature in the field and by asking recognized experts in the field to react to the validity and appropriateness of the concept. Having the concept pass the literature and "experts in the field" tests will reap many benefits later when the approach is presented to additional referent groups, including the funding agency.

As many potential referent groups as possible should react to the conceived approach from their various vantage points.

Most of the above cited activities usually occur informally with only one or two persons (usually with vested interest) doing most of the work.

Once the concept is refined and can be easily defended, the stage is set for greater involvement from the various referent groups. These include allied agencies, parents, faculty, central office, and funding agencies among others.

C. Select Potentially Viable Funding Sources; Obtain Request for Proposal (RFP), Guidelines, Regulations, Application Forms, and Related Information

The identification/monitoring process described earlier should yield sufficient information for one to "narrow down" the number of possible federal funding sources. If no viable federal sources are identified, the option is still open to explore state, local, private foundations, and other sources. (Only federal sources are addressed in this paper.)

The Catalog of Federal Domestic Assistance (CFDA) provides excellent verification of funding some priorities; however, the best source of verification is from the funding agency/ies under consideration. It is recommended that general information guidelines, regulations, related statutes, and application forms be requested from the respective funding agencies under consideration. The earlier this is done, the greater the proposal preparation time. Generally the proposed regulations are important because they preceed the final regulations (regs) in order of appearance in the Federal Register. One may not have the final regulations, guidelines, RFP, and application forms until just a few weeks before the

proposal deadline; however, the proposed regulations along with interaction with the prospective funding agency will generally provide sufficient advanced information to allow a reasonable time for proposal planning and development.

D. Organization of the Proposal Preparation Effort

Once the funding agency has been selected, the necessary guidelines, regulations, application forms have been obtained, the submission deadline is known, a proposal planning/preparation team should be organized. The team should be small in number (two-five persons). Once the guidelines are reviewed, it will be apparent which type of format will be required. The elements to be incorporated into the proposal will be specifically addressed. The team should divide up responsibility for completing different sections under the direction of a team chairperson who should have final responsibility for preparing the proposal. It is important that all proposed action be reviewed with the proposed actors (when possible) prior to submission of the proposal. The earlier this occurs, the better the opportunity for refinement in the approach. Since proposal preparation is expensive, it is imperative that the appropriate administrative personnel endorse and be involved in the effort. If a classroom teacher is initiating a proposal, generally she/he would need the active involvement of the principal, other target (potential actors), teachers and agencies, the fiscal officer, the director of instruction, the curriculum area supervisor, and the superintendent.

A time line for proposal completion should be developed. The completion of the proposal a minimum of one week prior to the submission deadline will allow time for last minute changes, sign offs, and other "finishing" activities.

E. Draft and Review of Proposal

The proposal should be drafted in accordance with the guidelines. Technical assistance may be required. If questions arise, one should obtain valid answers--"do not try to second guess and ad-lib".

It is important that the budget section be sensitive to the strategies listed in the narrative section. One should not guess at budget figures. A formula to determine each line item total will provide a clear description to readers as to how the funds are to be incumbered.

Once a rough draft is assembled, it should be reviewed with appropriate referent persons. The draft should be proofread for grammatical and substantive errors. It should be checked against the guidelines to insure that there are no omissions. After all revisions and refinements are made, the document is ready for final typing, duplication, and assembly. All required original signatures should be obtained.

F. Proposal Submission

The submission process is usually very simple since guidelines usually specify the procedure. Proposals can either be mailed or hand carried.

A letter of transmittal is helpful in conveying specific information to the receiver. (See Appendix C for example.) Once the proposal has been submitted, the funding agency should be contacted at periodic intervals in order to determine the status of the proposal. Once the decision has been made to fund or not to fund the proposal, the local contact person listed in the proposal will be informed of the decision. Frequently the funding agency will offer to fund at a lesser than requested amount, thus resulting in a budget negotiation.

If the proposal is not funded, the agency should be requested to provide reasons to support the decision.

III. CONCLUSION

It is difficult to communicate the essence of funding identification and procurement to disinterested parties; however, it is felt that the previously described procedure will be highly relevant to the interested persons (especially the novice) who becomes engaged in the federal funding identification and procurement process.

APPENDIX A

Examples of

Printed Sources of Information

Appendix A

EXAMPLES OF
PRINTED SOURCES OF INFORMATION

Publications	Cost
- Education Daily Capitol Publications, Inc. Suite G-12 2430 Pennsylvania Avenue, NW Washington, DC 20037	$240.00
- Education Funding News Education Funding Research Council 752 National Press Building, NW Washington, DC 20045	$183.04
- Behavior Today The Professional's Newsletter Atcom, Inc. Atcom Building 2315 Broadway New York, NY 10024	$ 38.48
- Catalog of Federal Domestic Assistance Superintendent of Documents U.S. Government Printing Office Washington, DC 20402	$ 14.50
- Federal Register Superintendent of Documents U.S. Government Printing Office Washington, DC 20402	$ 52.00
- Selected U.S. Government Publications Superintendent of Documents U.S. Government Printing Office Washington, DC 20402	No Cost
- Federal Education Program Guide Capitol Publications, Inc. Suite G-12 2430 Pennsylvania Avenue, NW Washington, DC 20037	$ 26.50
- 1977 Federal Funding Guide for Elementary and Secondary Education Education Funding Research Council 752 National Press Building, NW Washington, DC 20045	$ 19.95

Appendix A
(contd)
EXAMPLES OF PRINTED SOURCES OF INFORMATION

ERIC Clearinghouse on *Career Education*
Ohio State University
Center for Vocational Education
1960 Kenny Road
Columbus, Ohio 43210
Telephone: (614) 486-3655

ERIC Clearinghouse on *Counseling and Personnel Services*
University of Michigan
School of Education Building, Room 2108
Ann Arbor, Michigan 48109
Telephone: (313) 764-9492

ERIC Clearinghouse on *Urban Education*
Columbia University, Teachers College
Box 40
525 W. 120th Street
New York, New York 10027
Telephone: (212) 678-3780

ERIC Clearinghouse on *Early Childhood Education*
College of Education
University of Illinois
805 W. Pennsylvania Avenue
Urbana, Illinois 61801
Telephone: (217) 333-1386

ERIC Clearinghouse on *Educational Management*
University of Oregon
Eugene, Oregon 97403
Telephone: (503) 686-5043

ERIC Clearinghouse on *Handicapped and Gifted Children*
Council for Exceptional Children
1920 Association Drive
Reston, Virginia 22091
Telephone: (703) 620-3660

ERIC Clearinghouse on *Higher Education*
George Washington University
One Dupont Circle, Suite 630
Washington, D.C. 20036
Telephone: (202) 296-2597

ERIC Clearinghouse on *Information Resources*
Syracuse University
School of Education
Syracuse, New York 13210
Telephone: (315) 423-3646

ERIC Clearinghouse for *Junior Colleges*
University of California
Powell Library, Room 96
405 Hilgard Avenue
Los Angeles, California 90024
Telephone: (213) 825-3931

ERIC Clearinghouse on *Languages and Linguistics*
Center for Applied Linguistics
1611 North Kent St.
Arlington, Virginia 22209
Telephone: (703) 528-4312

ERIC Clearinghouse on *Reading and Communication Skills*
National Council of Teachers of English
1111 Kenyon Road
Urbana, Illinois 61801
Telephone: (217) 328-3870

ERIC Clearinghouse on *Rural Education and Small Schools*
New Mexico State University
Box 3AP
Las Cruces, New Mexico 88003
Telephone: (505) 646-2623

ERIC Clearinghouse for *Science, Mathematics, and Environmental Education*
Ohio State University
1200 Chambers Road
Third Floor
Columbus, Ohio 43212
Telephone: (614) 422-6717

ERIC Clearinghouse for *Social Studies/Social Science Education*
855 Broadway
Boulder, Colorado 80302
Telephone: (303) 492-8434

ERIC Clearinghouse on *Teacher Education*
American Association of Colleges for Teacher Education
One Dupont Circle, Suite 616
Washington, D.C. 20036
Telephone: (202) 293-7280

ERIC Clearinghouse on *Tests, Measurement, and Evaluation*
Educational Testing Service
Princeton, New Jersey 08540
Telephone: (609) 921-9000 ext. 2182

Educational Resources Information Center
(Central ERIC)
National Institute of Education
Washington, D.C. 20208
Telephone: (202) 254-5555

ERIC Processing & Reference Facility
4833 Rugby Avenue, Suite 303
Bethesda, Maryland 20014
Telephone: (301) 656-9723

ERIC Document Reproduction Service
P.O. Box 190
Arlington, Virginia 22210
Telephone: (703) 841-1212

Macmillan Information
866 Third Avenue
New York, New York 10022
Telephone: (212) 935-3274

APPENDIX B

Examples of Human Sources

Appendix B

EXAMPLES OF HUMAN SOURCES

- Mr. Joseph B. Webb
  Special Assistant
  Office of Federal Relations
  Bunn-Hatch Building
  327 Hillsborough Street
  State Department of Public Instruction
  Raleigh, NC 27611

- Ms. Ann E. Elmore
  Federal Liaison
  401 First Street, NW
  Washington, DC 20001

- Mr. Henry Helms
  Director
  Division of Development
  State Department of Public Instruction

- Mr. James L. Barden
  Coordinator
  Federal Programs
  Division for Exceptional Children
  State Department of Public Instruction
  Raleigh, NC 27611

- The person in charge of federal programs in your local school system.

APPENDIX C

Transmittal Letter

Example

Appendix C

TRANSMITTAL LETTER EXAMPLE

DEPARTMENT OF PUBLIC INSTRUCTION

STATE OF NORTH CAROLINA
SOUTHWEST REGIONAL EDUCATION CENTER
619 WALL STREET
ALBEMARLE, NORTH CAROLINA 28001
AREA 704 - 983-2126

A. CRAIG PHILLIPS
STATE SUPERINTENDENT

BENNY COXTON
DIRECTOR

June 20, 1977

Mr. Henry Helms
Director
Division of Development
State Department of Public Instruction
Raleigh, NC 27611

RE: Letter of Transmittal
North Carolina Facilitator
Network
Southwest Site
Continuation Plan

Dear Mr. Helms:

Attached herewith are three copies of the ESEA, Title IV - Part C, Southwest Facilitator Site Continuation Plan for your consideration.

The assistance your office is providing is acknowledged and appreciated.

I am

Sincerely yours,

Robert R. Byrd
State Facilitator
Southwest Region

RRB:rkr

Enclosures